Express Mail #EV582747039US Patent

Attorney Docket # 5367-169PUS

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Phase PCT Application of

Reiner WINDISCH et al.

Int'l PCT Serial No.: PCT/DE2003/004197

Int'l Filing Date::

18 December 2003

For:

Method for Roughening a Surface of a

Body, and Optoelectronic Component

## **INFORMATION DISCLOSURE STATEMENT**

Mail Stop **PCT**Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SIR:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO SB/08A.

In accordance with 37 C.F.R §§1.97(g) and (h), the filing of this Information Disclosure Statement should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56(b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise indicated, the date of publication indicated for an item is taken from the face of the item and Applicant(s) reserve(s) the right to prove that the date of publication is in fact different.

Submitted herewith is a copy of the International Search Report issued in connection with International Application on which the present U.S. National Phase application is based.

Copies of the references cited in the International Search Report have been supplied by WIPO to the USPTO. Therefore, copies of the cited references in the International Search Report are not being provided herewith in accordance with current U.S. practice because they should be on file already at the USPTO.

It is respectfully requested that the Examiner return an initialed copy of the attached Form PTO SB/08A to confirm that the publications supplied by WIPO and listed therein have been considered and made of record.

> Respectfully submitted, COHEN, PONTANI, LIEBERMAN & PAVANE

Thomas Langer

Reg. No. 27,264 551 Fifth Avenue, Suite 1210

New York, New York 10176

(212) 687-2770

Dated: June 30, 2005

U.S. Patent and Trademark Offi

through 04/30/2003. OMB 0651-0031 S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for	Form 1449/PT0	0		Complete if Known			
				Application Number	10/54129	Ê	
INFO	TRMAT	ION D	ISCLOSURE	Filing Date		۲	
	INFORMATION DISCLOSURE STATEMENT BY APPLICANT			First Named Inventor	Reiner WINDISCH	l	
SIA		iny sheets as	·	Art Unit			
	(000 00 1110	, 0		Examiner Name			
Sheet	1	of	1	Attorney Docket	5367-169PUS		
				Number			

	U.S. PATENT DOCUMENTS								
Examiner Initials*	Cite No. 1	Document Number  Number-Kind-Code <sup>2 (if known)</sup>	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant				
		US-2001/014426 A1	08/16/2001	Alwan	Figures Appear				
- 100		US-5,676,853 A	10/14/1997	Alwan					
		US-5,240,558 A	08/31/1993	Kawasaki et al.					
		US-							
		US-							
		US-	- "						
		US-							
		US-							
		US-							
		US-							
		US-							
		US-							
		US-							
		US-							
		US-							
_		US-							

	FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. 1	Foreign Patent Document  Country Code <sup>3-</sup> Number <sup>4-</sup> Kind-Code <sup>5</sup> (if known	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>		
		JP 2002 100609 A	08/05/2002	Sakai et al.				
-		·						

Examiner Signature	Date Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form call 1-800-PTO-9199 (1-800-786-9199) and select option?

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. Applicant is to place a check mark here if English language Translation is attached.

JC14 Rec'd PCT/PTO 3 0 JUN 2005

Approved function U.S. Patent and Trademark Office. S. D.

through 04/30/2003. OMB 0651-0031 S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for Form 1449/PTO				Complete if Known		
				Application Number	10/541298	
INFORMATION DISCLOSURE				Filing Date		
				First Named Inventor	Reiner WINDISCH	
SIAII			PPLICANT	Art Unit		
	(Use as many	sneets as ne	cessary)	Examiner Name		
Sheet	eet 2 of 2		Attorney Docket	5367-169PUS		
				Number		

		NON PATENT LITERATURE DOCUMENTS	
Examiner Initials*	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		Streubel et al., "High Brightness AlGaInP Light-Emitting Diodes", IEEE	
		Journal of Selected Topics in Quantum Electronics, IEEE Service Center, US, Vol. 8, No.2, March 2002	
		Schnitzer et al., "30% External Quantum Efficiency from Surface	
		Textured Thin-Film Light-Emitting Diodes", Applied Physics Letters,	
		American Institute of Physics, New York, Vol. 63, No. 16, October 18, 1993	
		Windisch et al., "40% Efficient Thin-Film Surface-Textured Light-	
	:	Emitting Diodes by Optimization of Natural Lithography", IEEE Inc, New York, Vol. 47, No. 7, July 2000	
	+	1 Ork, Vol. 47, 140. 7, July 2000	

Examiner Signature	 Date Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional), 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 'Applicant is to place a check mark here if English language Translation is attached.

JC14 Rec CT/PTO 3 0 JUN 2005

By Express Mail #EV582747039US

Attorney Docket # 5367-169PUS

Patent

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re National Phase PCT Application of

Reiner WINDISCH et al.

Int'l PCT Appln. No.: PCT/DE2003/004197

Int'l Filing Date:

18 December 2003

For:

Method for Roughening a Surface

of a Body, and Optoelectronic

Component

Commissioner for Patents P.O. Box 1450

Alexandria, VA 22313-1450

Check box if applicable:

DUPLICATE

## INFORMATION DISCLOSURE STATEMENT

SIR:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56 and in accordance with the practice under 37 C.F.R. §§ 1.97 and 1.98, the Examiner's attention is directed to the documents listed on the enclosed Form PTO/SB/08a. Copies of the listed non-U.S. documents are also enclosed.

It is respectfully requested that the above information be considered by the Examiner and that the copy of the enclosed Form PTO/SB/08a be returned indicating that such information has been considered.

In accordance with 37 C.F.R §§1.97(g) and (h), the filing of this Information Disclosure Statement should not be construed as a representation that a search has been made or that information cited is, or is considered to be, material to patentability as defined in §1.56(b), or that any cited document listed or attached is (or constitutes) prior art. Unless otherwise

10/541298 JC14 Re PCT/PTO 30 JUN 2005

indicated, the date of publication indicated for an item is taken from the face of the item and Applicant(s) reserve(s) the right to prove that the date of publication is in fact different.

If any fees or charges are deemed required at this time in connection with the application, the same may be charged to our Patent and Trademark Office Deposit Account No. 03-2412.

Respectfully submitted, COHEN, PONTANI, LIEBERMAN & PAVANE

By:

Thomas Langer Reg. No. 27,264

551 Fifth Avenue, Suite 1210 New York, New York 10176 (212) 687-2770

Dated: June 30, 2005

JC14 Rec'd PCT/PTO 3.0 JUN 2005

Approved f U.S. Patent and Trademark Off

through 04/30/2003. OMB 0651-0031 J.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute fo	Substitute for Form 1449/PTO				Complete if Known		
					Application Number	10/5/1900	
INFORMATION DISCLOSURE					Filing Date	891371670	
	TEMENT				First Named Inventor	Reiner WINDISCH	
SIA					Art Unit		
	(Use as many sheets as necessary)				Examiner Name		
Sheet	1	of	2		Attorney Docket Number	5367-169PUS	

			U.S. PATE	NT DOCUMENTS	· · · · · · ·	
Examiner Initials*	Cite No. 1	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant	
minais	NO.	Number-Kind-Code <sup>2 (if</sup> known)	MIM-DD-1111	Applicant of Cited Document	Passages or Relevant Figures Appear	
		US-3,739,217	06/12/1973	Bergh et al.		
		US-4,407,695	10/04/1983	Deckman et al.		
		US-5,256,587	10/26/1993	Jun et al.		
		US-6,410,942 B1	06/25/2002	Thibeault et al.		
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				
		US-				

	FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No. 1	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or	Pages, Columns, Lines,	T <sup>6</sup>			
initiais.	190.	Country Code <sup>3-</sup> Number <sup>4-</sup> Kind-Code <sup>5 (if known</sup>	MIMI-DD-1111	Applicant of Cited Document	Where Relevant Passages or Relevant Figures Appear				
_		EP 0 977 280 A2	07/16/1999	Heremans et al.					

Examiner Signature	Date Considered	

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 'Applicant is to place a check mark here if English language Translation is attached.

JC14 Rec'd PCT/PTO 30 JUN 2005

Approved f U.S. Patent and Trademark Off through 04/30/2003. OMB 0651-0031 3.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for Form 1449/PTO				Ca	Complete if Known			
				Application Number	10/54129			
TAIRC		AT TAT	COLOCUDI	Filing Date	201712			
			SCLOSURI	First Named Inventor	Reiner WINDISCH			
STA			APPLICANT	Art Unit				
	(Use as many sh	neets as	necessary)	Examiner Name				
Sheet	2	of	2	Attorney Docket Number	5367-169PUS			

Examiner Initials*	Cite No. 1	NON PATENT LITERATURE DOCUMENTS  Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		R. Windisch et al., "Light-emitting diodes with 31% external quantum efficiency by outcoupling of lateral waveguide modes", Applied Physics Letters, Vol. 74, No. 16, April 19, 1999	
		H.W. Deckman et al., "Natural Lithography", Appl. Phys. Letter Vol. 41, No.4, August 15, 1982, pp. 377-379	

Examiner Signature	Date Considered	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 'Applicant's unique citation designation number (optional). 'See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. 'Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). 'For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. 'Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. 'Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.